DATE: September 3, 2002

TO: ALL STATE AGENCIES, EMPLOYEE ORGANIZATIONS, AND MEMBERS OF THE GOVERNOR'S CABINET

SUBJECT: ESTABLISHING NEW CAREER EXECUTIVE ASSIGNMENT (CEA) POSITIONS

This memorandum is being sent to departments to clarify information to include in proposals requesting the establishment of new CEA positions. Our goal is to provide better service to departments by reducing the amount of time needed to obtain additional information in order to make our determination. This guidance should be used in conjunction with the Department of Personnel Administration's Classification and Pay Manual and Government Code Section 18547.

Statutory Definition

Government Code Section 18547 states that "Career Executive Assignment means an appointment to a high administrative and policy-influencing position within the state civil service in which the incumbent's primary responsibility is the managing of a function or the rendering of management advice to top level administrative authority. Such a position can be established only in the top managerial levels of state service and is typified by broad responsibility for policy implementation and extensive participation in policy evolvement…"

Considerations

While the terms in the definition are broad, they convey the intent that CEAs are to be limited to only the highest, most critical positions in state civil service. These are the positions that have continuous, direct interface with department directors and constitute the director's or agency's executive management team. They should have a decisive role at their departments' highest policy-making levels and should have regular involvement in overall departmentwide policy and program management as well as their speciality area. Considering these factors, the policy/program management influence of the position should be significant and comparable to other CEA positions within the department/agency and/or other departments with similar functions. Significant policy formulation and program management responsibility are mandatory aspects of CEA positions. CEA positions must possess the authority to directly influence policies or manage programs pertaining to the departmental mission. Equally important, CEA positions serve as the chief policymaker within their respective program area.

The CEA Proposal

To establish a new CEA position or request a revision to an existing CEA position, a key position description, duty statement and <u>complete</u> departmental organization chart(s) showing <u>all</u> existing CEAs are sent to the State Personnel Board (SPB) attached to a memorandum requesting that the position be established or revised. The memorandum should provide background information regarding why the position is being requested, the current classification performing the function(s), and what has changed to support the CEA request.

<u>Role in Setting Departmentwide Policy</u>

The dictionary defines policy as, "Any plan or course of action adopted by a government, political party, business organization or the like, designed to influence and determine decisions, actions and other matters."

Departments need to keep in mind that there is a distinction between a position that is responsible for making high level policy decisions, impacting not only their own program but influencing decisions departmentwide and/or statewide, and a position that is responsible for developing operational procedures or standards to implement policy. While the first may support a CEA allocation, the latter probably would not. Developing operational procedures is not defined as high-level policymaking. The depth and breadth of the role of the individual in the development of policy is a critical consideration in determining whether a position meets the statutory requirement for having a high level policy-influencing role.

Consequently, in describing the policy role of a position, departments should provide as much detailed information as possible:

- a description of the program area in which an individual will have a policy-influencing or program management role;
- specific examples of policy issues;
- basis for the policy role;
- the extent to which the policy-influencing role affects programs which are critical to the department's mission and the extent to which the role has an impact beyond internal departmental programs;
- the sensitivity, criticality, and complexity of the policy issues, including the degree of public, media and legislative interest and concern;

- the extent to which the basis of the policy role is based on a traditional organizational management role or a specialized/technical/sensitive/ policy or program management role; and
- whether it is a new role/function or expansion of an existing non-CEA responsibility.

Departments should include the extent to which the individual has continuous and direct interface with the department/agency head. Where the organizational chain-of-command indicates that the proposed CEA allocation reports through one or more additional CEA or exempt positions to the agency/department head, departments should clearly distinguish between the policy roles of the respective CEA or exempt positions and indicate which positions develop, recommend or make final decisions regarding the adoption of the policies. Examples of the policy decisions at each level should be included.

<u>Organizational Level</u>

Since the statutory definition limits CEA positions to those that are of a "high administrative and top managerial" nature, CEA positions must be placed with the top organizational levels of the department. Generally, those positions at the first and second organizational level meet this definition; however, positions will not be designated as CEA simply because they are placed at high organizational levels. Larger or more complex departments may justify third level CEA positions. It is SPB's policy that positions at the fourth or lower organizational level should not be assigned to the CEA category; however, on a very limited exception basis, positions in the largest departments with decentralized functions or highly diverse functions may be able to justify a fourth level CEA position.

<u>Scope</u>

The scope involves the overall responsibility assigned to the position. Considerations should include the size of the department, the size and composition of the subordinate professional staff, the nature of the departmental mission and the proportion of the mission that the position is responsible for, and the current number of CEA and exempt positions in the department. This will indicate how the department disseminates managerial responsibility and the strength of the policy-influencing role assigned to the position. The scope of responsibility should be significant and comparable to other appropriately designated positions within the department or other state departments with similar responsibility.

Departments have occasionally used some of the duties and responsibilities, previously used to support the allocation of a current CEA position to the CEA category, to support the allocation of another position to the CEA category.

Such action can diminish support for the original CEA position, will initiate a need to re-review the original CEA position, and could result in the disapproval of one or both of these positions. The movement of duties and positions among all impacted CEAs should be clearly described.

Questions regarding this memorandum may be addressed to Jennifer Roche of my staff at (916) 657-4322 TDD (916) 653-1498.

Karen Coffee, Chief
Personnel Resources & Innovations Division

Attachment

The following is an outline of the Key Position Description to be followed when describing a CEA position. Be particularly attentive to the second item, "Role in Setting of Major Departmentwide Policy."

CAREER EXECUTIVE ASSIGNMENT
KEY POSITION DESCRIPTION
(POSITION TITLE)

Nature of Responsibilities
Include what has changed to support the CEA request
What classification has been performing this function

Role in Setting of Major Departmentwide Policy
• Who is the principal policymaker for this function
• Will the position be developing & implementing new policy or interpreting & implementing existing policy
• How will this position's policy decisions impact the department's mission
• Specific examples of policymaking role of position

Program Sensitivity & Managerial Influence Describe how the incumbent's role will involve responsibility for public policy which is sensitive, controversial, or of particular interest to the public, media or legislature

Contacts
• Include extent to which the incumbent will have interface with the department/agency head, agency heads, Legislature, Governor's Office, etc.
• If the incumbent will report through one or more CEA positions to the department/agency head, distinguish between the policy roles of the respective CEAs

Staff Size, Program Variety, & Budget
• Include classifications of staff Include budget for area of responsibility

Departmental Data
• Organizational level of position
• Size of department and number of existing CEAs Include comparable CEAs within organization or other departments

POSITION STATEMENT

(Class Title)
(Department)

1. Define the position here in one or two sentences:

2. List the essential and important tasks with percentages of time:
    (Group similar tasks together; however, no group should exceed
    30%)